



CENTRAL FINANCE & CONTRACTS UNIT

SELF ASSESSMENT ANALYSIS REPORT

**SENIOR PROGRAMME OFFICERS
UNDER THE IPA COMPONENT-I**

JUNE- 2009



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List of acronyms and abbreviations (in alphabetical order)

CFCU	Central Finance and Contracts Unit
ECD	European Commission Delegation (to Turkey)
EU	European Union
EUSG	Secretariat General to EU Affairs to Turkey
HoQACD	Head of Quality Assurance and Control Department
OA	Operational Agreement
PAO	Programme Authorising Officer
PIM	Project Implementation Manual
PMG	Programme Management Guidelines
POG	Programme Operational Guide
PTR	Programme Training Resources
SCM	Senior Contract Manager
SWOT	Strengths Weaknesses Opportunities Threats
SPO	Senior Programme Officer

FOREWORD

At the moment we find all the essential components of a well operating DIS system are present in Turkey. In so far as the capacity of SPOs is concerned we see also a DIS system that is *growing* well. Of course it is not the finished product yet but that is to be expected; these systems need time to take root fully in Accession countries and it takes time to provide sufficient resources to the system in total so some delays are inevitable.

In addition to the DIS system, Instrument for Pre-Accession Assistance (IPA) gathering the rules and structures and delivery of assistance in one single regulation transformed the SPO-related issues into a "stationary pad" for the CFCU.

As is known, management of the financial assistance to Turkey in Component-I of IPA was conferred on a decentralized basis to the Central Finance and Contracts Unit (CFCU) while article 75/3 of the IPA Implementing Regulation requires the PAO to "designate" officials within the national administration as Senior Programme Officers (SPOs). Under the "overall responsibility" of the PAO concerned, SPOs shall carry out the tasks specified in this article.

PAO's "overall responsibility" necessitated by the IPA Implementing Regulation has been interpreted in several occasions by the Commission services. According to the Commission,

1. It is not something limited to just a "supervision" on the top but also implies a "functional hierarchy" and therefore requires some quality/capacity related interventions including "mini-accreditation" over the SPOs.
2. PAO is accountable to the NAO for the actions of the SPOs
3. PAO must actively monitor the effectiveness of SPO controls
4. PAO must reject files submitted by an SPO not implementing effective controls.

Within this approach, "SPO supervision" issues are considered at the center of the way CFCU's operations are carried out. Therefore PAO has to consider whether the SPOs and SPO Offices are ready to assume the responsibilities assigned to them in the Operational Agreements (OAs). Also, the PAO has to consider whether this initial readiness continues during the implementation of the project.

It is obvious that a new "administrative culture" needs to be broadly recognized by the LMs in this respect. Furthermore, all the foregoing issues necessarily lead to the "supervision of SPOs" in a systematic manner. It should also be known that this particular issue can not be moved ahead with some quick impact initiatives but should continuously be followed.

This report should be considered in this respect. The purpose of this report is to discover how the SPO supervision process should be handled and to develop the ways and methodology in this field. The report presents an in-depth analysis of the current situation of the SPO offices referring to the self assessment study and its verification by the CFCU through spot-checks as well as scientific evaluation methods. The report also



presents a considerably high resolution view of main challenges of these bodies such as training, staffing, organizational setup etc.

In order to provide for readers a methodologically correct analysis, report also covers all the statistical analysis, which was managed by using SPSS 16.0. Straight forwardly of these clear findings, as an innovative next step, the report present an "*improvement plan*". The improvement plan, as a new word of the CFCU, presents very brief but quite comprehensive projection to the decision makers in order to enlightening of the system from different perspectives.

As the PAO, I hope this study enhances the whole aspects of the subject matter effectively in such a way that it enlightens the main DIS actors to how they will act accordingly.

Muhsin Altun

PAO- CFCU Director

1. BACKGROUND

1.1. LEGISLATIVE UNDERPINNING

- ❖ In accordance with Article 75 item 3 of the IPA Implementing Regulation 718/2007:

“Programme authorising officers shall designate officials within the national administration as senior programme officers. Under the overall responsibility of the programme authorising officer concerned, senior programme officers shall carry out the following tasks:

- a) Be responsible for the technical aspect of the operations within the ministries.**
- b) Assist the programme authorising officer project in the good and timely preparation and implementation of operations at technical level.**
- c) Be in charge of the coordination within each priority axis set down in the beneficiary country’s project proposal.”**

- ❖ Preconditions and recommendations to the Conferral of Management of IPA (Component I - Transition Assistance and Institution Building of the Instrument for Pre-Accession Assistance (IPA) on Turkey)

Preconditions

“Information on the implementation of planned trainings on the new Manuals of Procedures and on SPOs management guidelines should be provided to the Commission”

“Extend the sensitive posts' policy to include SPOs; provide evidence to the Commission”

“Provide clear guidelines to all Line Ministries, explaining on which basis and following which analysis self-assessment sheet should be filled. Make the link with the SPO guidelines where necessary”

Recommendations

“Make sure self-assessment exercise is carried out by all SPOs on regular basis, following the new guidelines to be issued; provide reporting on self-assessments to the Commission”

“The PAO should clarify and formalize (where not done already) the procedure for testing the SPOs declarations on a regular basis. Provide evidence/reporting of testing of self-assessments to the Commission.”

“Test the reliability of the SPOs declarations in the light of the updated testing/control procedure, assess and address any weaknesses detected at SPOs/PIUs level; provide reporting to the Commission.”

“As soon as the Framework Agreement is signed, OAs should be signed with all SPOs including the declarations of readiness.”

“Formally nominate all SPOs.



1.2. ROLE AND RESPONSIBILITIES OF THE SENIOR PROGRAMME OFFICERS

Role of the Senior Programme Officer

The SPO will be an official designated by the PAO within the line ministry or agency involved in the project who shall ensure that the technical aspects concerning the preparation and implementation of the programmes, relating to his/her line Ministry or Agency, are carried out in an effective and timely manner.

The SPO may delegate part of his/her responsibility and actions, including the right of endorsement of documents ("read and approved), to a maximum of two officials within the same Ministry or Agency. The names and signatures of the officials to whom the SPO has delegated his/her responsibility must be communicated to the PAO and the Delegation of the European Commission (ECD) by the SPO.

The SPO should be of a sufficient senior level within his/her Ministry or Agency to allow him/her to make the appropriate decisions and to act as required in accordance with the responsibilities entrusted to him/her.

The Ministry or Agency shall ensure that the SPO is provided with an appropriate number of qualified personnel to enable him/her to discharge the responsibilities to be carried out by him/her in an efficient manner.

The SPO, being responsible for the technical management and timely implementation of the programmes, will exercise a supervisory function, when necessary, over the relevant Turkish institutions in the preparation and technical implementation of projects.

Responsibilities of the Senior Programme Officers

Under the overall responsibility of the PAO, SPO shall carryout the following tasks:

- (a) be responsible for the technical aspect of the operations within line ministries,
- (b) assist the PAO in the good and timely preparation and implementation of operations at technical level,
- (c) be in charge of the coordination within each priority axis set down in Turkey's project proposal.

More specifically the responsibilities of the SPO will include:

- (a) Preparation of Terms of Reference/Technical Specifications and Works Dossiers,
- (b) Submission of requests to the CFCU to launch tenders,
- (c) Providing necessary information concerning technical aspects of the project to the CFCU during the preparation of tenders and/or the tendering process,
- (d) Endorsement of commitment and disbursement schedules prior to their transmission to the CFCU,



- (e) Proposing voting members in Evaluation Committees and in Short List Panels,
- (f) Provision of technical assistance to the CFCU in contract negotiations, if necessary,
- (g) Endorsement of Twinning Contracts , where appropriate,
- (h) Technical Management and Monitoring of service, supply and work contracts of the programme/project, notifying the CFCU of difficulties or non-performance during contract implementation,
- (i) Monitoring of Grant Contracts of grant beneficiaries in collaboration with relevant central and local authorities
- (j) Contribution to the development and implementation of policies that facilitate the achievement of the project goals as well as the efficiency of future programmes and projects,
- (k) Technical implementation of EU funded projects except the projects of Grant Beneficiaries:
 - Cooperating with the contractor and rendering logistical or other assistance, if deemed necessary by SPO, Ensuring that the contractor performs the tasks in accordance with the pre-defined deadlines and to the standard of quality required,
 - Approval of the reports of contractors ("read and approved")
 - Ensuring that the provisional and final acceptances are properly made ("read and approved"),
 - Approval of experts' timesheets ("read and approved"),
 - Approval of technical documents and payments requests/invoices prior to financial check and payment by CFCU ("read and approved"),
 - Coordination with other departments within his/her Ministry or Agency for the development and proper implementation of projects,
- (l) Preparation of regular status reports on the progress of the implementation of projects and input into the preparation of financial and reporting documents required by the CFCU,
- (m) The **immediate** reporting of any determined/suspicious irregularity to the CFCU and, where non detected, the preparation and submission of a monthly "Zero" Irregularity Report to the CFCU,
- (n) Participation in regular programme implementation and monitoring meetings with the CFCU and the ECD,
- (o) Monitoring of the implementation of programmes/projects
 - Preparation of the Monitoring Report (semi-annually)



- Participation in the appropriate Sectoral Monitoring Sub-Committees
- (p) Other tasks related to the technical implementation of the programmes/projects under his/her responsibility.

The SPO shall be responsible for ensuring that an adequate organisation, with sound internal procedures, is established within his/her line Ministry or Agency staffed by an appropriate number of qualified personnel to enable him/her to carry out the implementation of EU projects in a timely, effective and efficient manner. The SPO will confirm this by the signature of the Declaration of the SPO.

Also, as the PAO is accountable to the NAO for all the work of the SPO in respect of contracts and payments for which EU funding is sought, this accountability gives the obligation on the SPO to fully cooperate with any supervisory actions the PAO may wish to undertake.

2. METHODOLOGY

2.1 LEADING SPOS FOR OBTAINING RESULT-ORIENTED INPUTS

Definition; the self assessment sheet is a tool that all SPOs must assess themselves in a frank and open manner through this sheet by providing supporting documents and submit to the CFCU together with the information required at the tendering and contracting stage for supervision of the PAO.

This also gives a clear opportunity to readers/specialist to looking at the institutions from different angles at the same time, the holistic approach of institutional performance analysis.

Starting point and progress; the Self Assessment Sheet is a part of the Programme Implementation Manual (PIM) that it is one part of the Programme Management Guidelines.

These mentioned PMGs have been developed with a two fold objective:

- Rationalize and systematize management and organizational structures and procedures of the Project Teams, to be set up in each Line Ministry or Agency under the responsibility of the SPO, to ensure an efficient and effective implementation of the EU funded projects
- Provide easy and friendly guidelines to accompany the SPO and his/her team along all phases of the project cycle technical and administrative management

The PMGs are based on the EC project technical management procedures (PCM Manual) and project administration procedures (PRAG).

The PMGs will be reviewed and updated every six months by a working group composed of at least five SPOs (or their delegates) and led by the QACD of the CFCU. The PAO shall take the initiative in convening the Working Group.

Should any discrepancy with the EC regulation occur the latter prevails over the PMGs.

The PMGs are in three parts:

- *A Programme Implementation Manual (PIM)* provides an overview of actors and their responsibilities, and the legal framework within which they work. It describes the different activities to be undertaken under the SPO, (WHAT is to be done) and who is responsible for undertaking those activities, in the framework of the programme. The PIM also describes the overall management and control system from Steering Committee to Sectoral Monitoring Committees (SMCs) to evaluation processes.
- *A Programme Operational Guide (POG)* supports the PIM. It is comprised of a detailed set of guidelines on HOW to carry out all of the activities; including instructions, checklists, standard formats, etc.
- *Programme Training Resources (PTR)* supports the PIM and POG. These are training programmes dealing with the core theoretical background of key activities relevant to the PIM and POG. This extra section elaborates the theoretical underpinnings of selected areas and is intended also as a resource for induction training for new recruits to the line ministry/agency. It may serve also as a source of renewal training for longer serving officers.

PTR should be taken into consideration as together with the "DIS Training Policy" developed by the NIPAC services.

In this basing point, as including all the Conferral of Management IPA "*Transitional Assistance and Institutional Building*" Component (IPA Component I) conditions, the following steps and pathway followed in order to leading of the SPOs for obtaining the required inputs.

Step I

Provide clear guidelines to all Line Ministries, explaining on which basis and following which analysis self-assessment sheet should be filled. Make the link with the SPO guidelines where necessary. (Please see at Annex 5 to all the related documents as a supportive documents concerning to the actions taken below)

- "*SPO Supervision Logframe Matrix*" prepared for the structure and authorities in the event of decentralised management SPO Supervision by the PAO (pls. see Annex 1).
- SPO Supervision located in the EDIS Roadmap
- SPO Management Guidelines were updated and published
- SPOs were informed by PAO on the new version of the Guideline.
- SPO page was established on CFCU website
- All SPOs designated for 2007 IPA Component- I; however designation at 2 SPOs were withdrawn by the PAO.

- All the Operational Agreement (OAs) was countersigned for 2007 IPA Component- I, except the mentioned two.
- Classified the SPO under the 2007 IPA Programme Component- I on sectoral features of the institutions as two main groups and informed them by the PAO with an official letter on "*1st Periodical Round Table Meeting*".
- The EC Delegation and National Fund were also invited to the Meetings

- CFCU *1st Round Table Meeting* held on *28th and 30th April 2009* as two separate sessions at the CFCU premises with intensive participation of SPOs, and representatives of EC Delegation, National Fund and CFCU Coordinators



A scene from the SPO meeting

- The meeting processed as three following modules:

I. IPA Structure

II. IPA Programming and Project Implementation Cycle

III. Role of the Senior Programme Officer and the Project Team

- The modules delivered by PAO, SCM, Head of QACD and QACD Controller.
- In the following meeting, all the participants were informed with an official letter attached "*minutes of meeting*", "*attendance sheets*" by PAO dated *14th May 2009*.
- The presentation file is also available on ***<http://www.cfcu.gov.tr/spo.php?lng=en>***
- In the same letter, all the SPOs were invited to the "*Self Assessment Sheet Briefing*", held on two separate sessions to the SPOs at CFCU premises.
- The EC Delegation and National Fund were also invited to the Briefings.

- “The Self Assessment Sheet Briefing” held on 21st May 2009 as a morning and noon sessions with intensive participation.



A scene from the Self Assessment Briefing Meeting

- The following topics dealt with in the briefing;

I. Brief information on previous action “1st SPOs Round Table Meeting”

II. Focus on SAS

III. Workload Analysis (for years 2009, 2010, 2011)

IV. To submit of the SAS

V. Next step

- Just after briefing, all the participants informed the results of meeting reached and the next step should be completed, with an official letter by PAO. The required documents provided as a softcopy in CD attached to this official letter.

Main purpose and fostering institutional performance; the self assessment sheet is offered as an easy to use tool to assist public sector institutions across Turkey just at the starting point of IPA 2007 period via describing feedbacks to improve their performance.

Self assessment analysis provides a framework that is conceptually similar to the TQM models, particularly in SWOT analysis. This also specifically conceived as taking into account to institutional differences of public sector institutions.

In this framework, it can be utilized as following four main areas from the self assessment sheet findings.



Target Public Institutions; the self assessment analysis has been targeted the institutions that has had a project/programme under IPA Transitional Assistance and Institutional Building Component (IPA Component- I).

Under the Component- I, there are 35 SPO/SPO offices existing and in some cases, and especially in very large institutions, a self assessment does cover the sections and/or departments separately.

Content of the self assessment sheet; this sheet was composed of the following 3 main requirements baskets and subjecting on these 24 sub-criteria.

- 1. FORMAL REQUIREMENTS TO BE ACKNOWLEDGED**
- 2. MINIMUM REQUIREMENTS FOR THE STAFFING OF THE SPO OFFICES**
- 3. MINIMUM CRITERIA FOR THE INTERNAL ORGANIZATION OF THE SPO OFFICES**

Examples and the process of self assessment described in the course of **Self Assessment Sheet Briefing** very comprehensively.

Cross connections between the public institutions as beneficiary and the results of the model; the following steps below have been handled as a holistic approach and this does not mean that all aspects of the functioning of an institution as a beneficiary are



delicately assessed but also that all the planned and realized sub-steps have reciprocal impact on each other. In this model, three main cause-effect relations should be mentioned;

- public institutions (causes "*strengths+weaknesses+opportunity+threats*")
- results (obtained+verification)
- feedback (improvement+fostering institutional performance)

In this cause effect relation stream, verification is fundamental importance for self assessment, where the CFCU specialists always check for consistency between a given results and the "*evidence*" collected on the relevant criteria and sub-criteria on the institution-beneficiary side. However, such consistency is sometimes difficult to verify, since due to the holistic character of the public institutions. So many different causes interact with each other when processing both tendering and more intensively implementing of the programmes.

Cross connection between main requirements and sub-criteria of self assessment; since quality of results is to a large extent determined by the type and intensity of the internal and external relations in the institution. In fact, the intensity of institutions is very different between different institutions and their nature determines to large extent the quality of the institution. Well organized institutions are, for instance, characterised by strong interactions between the formal/staffing and internal requirements.

Importance of evidence and measurements; self assessment and improvement of the public organizations are very difficult without reliable information across different functions of the institutions. The administration progress towards continues improvement needs to be supported by themselves in the light of findings of this analyse.

Importance of the scoring approach; one of the compulsory elements of this holistic methodology is the scoring approach.

Allocating a score to each sub-criterion and main requirements of the self assessment sheet has 4 main aims:

1. to envisage an indication on the direction to follow for improvement activities of institutions
2. to create an opportunity to the institutions to measure their own progress
3. to create an "*good and correct sample*" as indicated by high scoring for self assessment sheet outputs and the relevant institutions
4. to reflect the outputs and lessons learnt from this practise to all the actors in the system

Lingua Franca and managerial common understanding; almost all of the public institutions confront with the terminology which use as the EU jargon on IPA System, procurement process and /or project life cycle since it is difficult to coming over in a very short time and also for the first time.

Concept and values of self assessment; the self assessment sheet, as a tool, subscribes to the fundamental concepts; result orientation, involvement of people, continuous improvement, mutually beneficial partnerships and corporate responsibilities. It aims to improve the performance of public institutions on the basis of these concepts.

Management approach and quality issue in the public sector have serial unique conditions in comparison with their equal in other EU countries. They presume fundamental conditions, common to in Turkish socio political and administrative culture; existence of strength democratic framework and legislative underpinning, conventional ethical behaviour based on common values and principals such as confidence, openness with some certain limitations, accountability, solidarity, collaboration and partnership.

The self assessment analysis create a additional value as well as the assessment in what extent the beneficiary institutions under the 2007 IPA Component-I stand by the process, the certain findings as the consequences of self assessment sheet are being reflected to the current features of public institutions.

Therefore, on basis of the holistic approach of this assessment, the following findings/features obtained configured as SWOT analysis of the certain public institutions in terms of their current performance during the 2007 IPA period.

- Legislative responsiveness and accountability
- Communication access with the top management/decision makers
- Operating features within the current legislative, legal and regulatory framework
- In-house involvement
- Awareness of management level on programme
- Awareness of workforce on programme
- Gaps/holes on Human Resources (in terms of features of work force appointed)
- Gaps/holes on staffing (in terms of increasing of qualification and required training facilities)

2.2. REVISION METHOD

As first revision action the data collected from self assessment sheet scores determined as 4 main groups according to the major requirements in the sheet and the total score that the institutions gained after scoring.

Secondly, to show these scores, *the Spider (Radar) Diagram* was used as revision method of "The Self Assessment Sheet" since this revision method help to specialists to represent connections between ideas and facts in a clear and memorable way. When it comes to revision, the following circumstances would be in hand;

- to graphically display the comparative values of multiple variables in adapt set,
- to display values for different categories of data on a single chart



- to aid in the identification of composite performance measure elements needing improvement

As third step, over this, in order to determine the clusters according to their scoring features **ANOVA (F tests)** and **Multidimensional Scaling Analysis** were used.

The F tests should be used only for descriptive purposes because the clusters have been chosen to maximize the differences among cases in different clusters. The observed significance levels are not corrected for this and thus cannot be interpreted as tests of the hypothesis that the cluster means are equal.

SPSS 16.0 was used for analysis of the collected data in appropriate to analysis method stated below.

“The SPO Self Assessment Analysis Report” was prepared in June 2009. This analysis revealed that the strengths of the SPO/SPO Offices in their own management implementation lie in performance and result focus and process management. It was also perceive to attain a “good” level of practices in strategic planning, human resource development and management. On the other hand, this analysis showed in which points more effort is needed to be focused on improving SPO/SPO Offices quality and relationship management and the information distribution system.

The report will be approved by the PAO and reporting to the NAO and the NIPAC.

PAO will also inform to the Commission on the report simultaneously

3. SELF ASSESSMENT ANALYSIS

3.1. LOGIC ON SCORING OF THE SELF ASSESSEMENT

Scoring to each of the requirement baskets and that’s the way allocating a score to each of the sub-criteria have had the following main aims.

- to measure of the availabilities of beneficiary institutions in terms of their programme
- to clarify *Good Practise* as indicated by high scoring for all the beneficiary institutions.
- to provide information on the direction to follow for improvement activities.
- To determine some possibilities for benchmarking and bench learning

In terms of determine some case studies on bench learning, comparing of Self Assessment Sheet scores has limited value and also carriers some risks, particularly if it is filled up by the inexperienced staff or the responses are not reflected the real and correct situations.

In order to mitigate the some possible risks which will be occurred, the CFCU conducted “2007 IPA Component I-SPO Spot Check Plan”. The spot checks will be done by the QACD Controllers and will be reported to results with the approval of the PAO.

How to score? The self assessment sheet scored in appropriate to “*fine-tune*” in order to reflect the results more in detail the analysis as covers as sub criteria. The main

requirements and their sub criteria, taken part in self assessment sheet, was taken for granted according to their levels as being "must" and "crucial" by specialist.

This gives a direct way to be closer to reality where the many public institutions are doing things but most of times without taking into account enough planning.

- In public institutions side, in which requirement baskets emphasis lays more
- This scoring way gives an opportunity to having more information on which areas are needed to be focussed to improvement
- Normally, as a common way, the good samples for benchmarking are at the highest levels of all the phases

In this respect, the following sections presented the list of all the SPOs' self assessment scores, self assessment sheet score of the relevant SPOs, and the statistical analysis of these scores.

1

TONE AT THE TOP- FORMAL REQUIREMENTS TO BE ACKNOWLEDGED						
CRITERION	BASIC  EXPECTED PRACTICE					
	0	1	2	3	4	5
<p>(a) SPO, as the head of the SPO Office/Project Team is clearly designated and is responsible for the tasks assigned to this staff</p> <p>Reference Score :(5)</p>	<p>Status are not formally designated</p> 					<p>Status are formally designated</p>
<p>(b) SPO/Office staff has full legal authority to fulfill their functions</p> <p>Reference Score : (5)</p>	<p>Roles have not full legal authority</p> 					<p>Roles have full legal authority</p>
<p>SPO has his own financial sources pursuant to the Law No.5018</p> <p>Reference Score : (3)</p>	<p>SPO has not own financial sources</p> 		<p>SPO has own financial sources</p>			

TONE AT THE TOP- FORMAL REQUIREMENTS TO BE ACKNOWLEDGED						
CRITERION	BASIC  EXPECTED PRACTICE					
	0	1	2	3	4	5
<p>(c) Declaration of Assurance signed as attached with the Operational Agreement</p> <p>Reference Score : (3)</p>	<p>Dec.of Assurance & Opr.Agreement was not signed</p> 		<p>Dec.of Assurance & Opr.Agreement was signed</p>			
<p>(d) “Programme Management Guidelines” received and disseminated to all staff</p> <p>Reference Score : (2)</p>	<p>All staff did not received the PMG</p> 	<p>All staff received the PMG</p>				
<p>(e) “Guideline for Preparation of the Market Research Study” received and disseminated to all staff</p> <p>Reference Score : (2)</p>	<p>All staff did not received the Guideline</p> 	<p>All staff received the Guideline</p>				

2

TONE AT THE TOP- MINIMUM REQUIREMENTS FOR THE STAFFING OF THE SPO OFFICES						
CRITERION	BASIC  EXPECTED PRACTICE					
	0	1	2	3	4	5
(a) All the assigned staff has proficiency in English Reference Score : (3)	None of staff has language proficiency		All the staff has language proficiency			
(b) All the assigned staff has the required skills/expertise on the projects assigned to Reference Score : (3)	None of assigned staff has the required skills/expertise		All the assigned staff has the required skills/expertise			
(c) All the assigned staff has no other assignment Reference Score : (4)	All the assigned staff has another assignment			All the assigned staff has no other assignment		

TONE AT THE TOP- MINIMUM REQUIREMENTS FOR THE STAFFING OF THE SPO OFFICES						
CRITERION	BASIC  EXPECTED PRACTICE					
	0	1	2	3	4	5
<p>(d) All the assigned staff has familiar with the PCM, PRAG rules and DIS system in Turkey</p> <p>Reference Score : (4)</p>	All the assigned staff has not familiar			All the assigned staff has familiar		
<p>(e) Detailed job descriptions for each post in management of projects/programmes</p> <p>Reference Score : (4)</p>	None of the position is not described			All the positions are described		
<p>(f) All the assigned staff has enough number of PCs/laptops with the passwords in their official usage</p> <p>Reference Score : (3)</p>	IT equipment is not enough for all the assigned staff		IT equipment is enough for all the assigned staff			

TONE AT THE TOP- MINIMUM REQUIREMENTS FOR THE STAFFING OF THE SPO OFFICES						
CRITERION	BASIC	→				EXPECTED PRACTICE
	0	1	2	3	4	5
(g) All the assigned staff has their own official e-mail addresses (...gov.tr) Reference Score : (4)	None of assigned staff has official e-mail addresses			All of assigned staff has official e-mail addresses		
(h) Enough staff allocated to the projects/programmes Reference Score : (5)	Not enough staff allocated				Enough staff allocated	

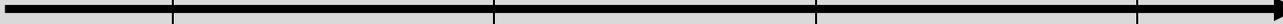
3

TONE AT THE TOP- MINIMUM CRITERIA FOR THE INTERNAL ORGANIZATION OF THE SPO OFFICES						
CRITERION	BASIC  EXPECTED PRACTICE					
	0	1	2	3	4	5
<p>(a) SPO Office is situated in any type of organization in the Turkish Administration (General Directorate, individual department etc.)</p> <p>Reference Score : (5)</p>	<p>SPO office is not situated in the Turkish Administration</p> 					<p>SPO office is situated in the Turkish Administration</p>
<p>(b) SPO carries out his responsibilities by means of an SPO Office or an ad hoc “Project Team” under the main organization</p> <p>Reference Score : (5)</p>	<p>SPO Office or an ad hoc “Project Team” is not exist</p> 					<p>SPO Office or an ad hoc “Project Team” is exist</p>

TONE AT THE TOP- MINIMUM CRITERIA FOR THE INTERNAL ORGANIZATION OF THE SPO OFFICES						
CRITERION	BASIC  EXPECTED PRACTICE					
	0	1	2	3	4	5
<p>(c) A sound organigram of the organization is available in a kind of flow chart with illustration of all hierarchical links</p> <p>Reference Score : (5)</p>	<p>Organigram is not exist and not submitted</p> 					<p>Organigram is exist and submitted</p>
<p>(d) An appropriate document “retention policy” (archiving procedures) is available (at least seven years, Implementing Regulation, Article 80)</p> <p>Reference Score : (5)</p>	<p>Retention policy is not available</p> 					<p>Retention policy is available</p>

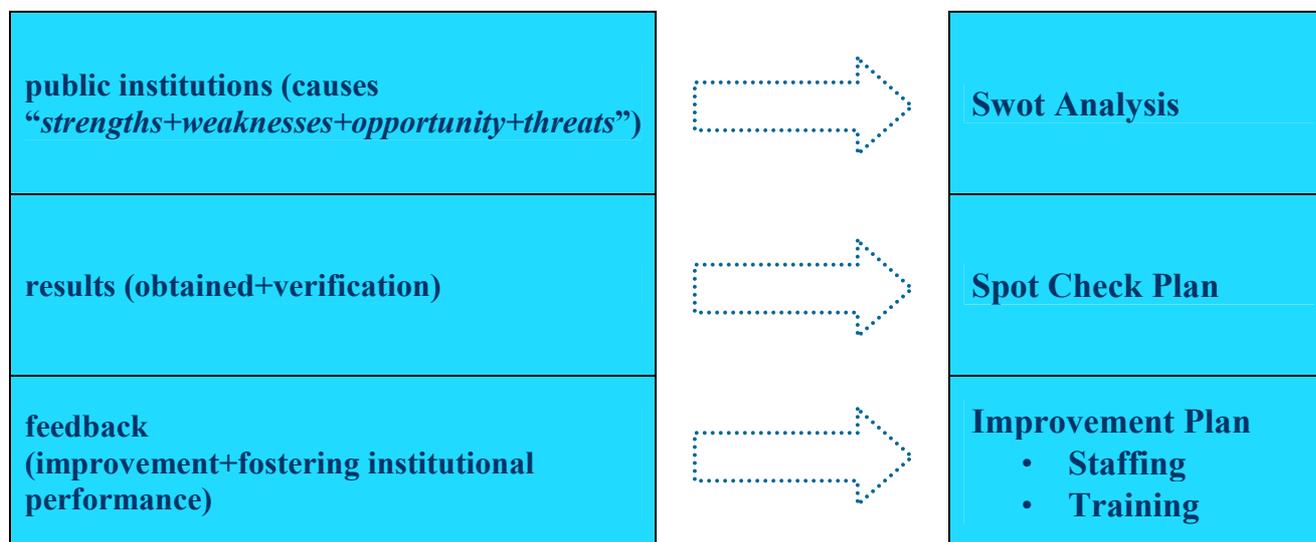
TONE AT THE TOP- MINIMUM CRITERIA FOR THE INTERNAL ORGANIZATION OF THE SPO OFFICES						
CRITERION	BASIC	—————→				EXPECTED PRACTICE
	0	1	2	3	4	5
<p>(e) An appropriate IT system including data management and security is functioning</p> <p>Reference Score : (5)</p>	<p>Proper IT system does not cover data management and security system</p> <p>—————→</p>					<p>Proper IT system does cover data management and security system</p>
<p>(f) SPO is provided with some independent reviews of the functioning of his systems at subordinate levels (Internal Control)</p> <p>Reference Score : (5)</p>	<p>Internal Control system is not exist and functional</p> <p>—————→</p>					<p>Internal Control system is exist and functional</p>
<p>(g) SPO provides the identification of “sensitive post” and the minimizing risk actions in place as regards of sensitive posts</p> <p>Reference Score : (5)</p>	<p>Sensitive post is not defined by SPO</p> <p>—————→</p>					<p>Sensitive post is defined by SPO</p>

TONE AT THE TOP- MINIMUM CRITERIA FOR THE INTERNAL ORGANIZATION OF THE SPO OFFICES						
CRITERION	BASIC  EXPECTED PRACTICE					
	0	1	2	3	4	5
<p>(h) SPO ensures “double check” of all steps in a transaction e.g. preparation of technical specifications and terms of references, nomination of the Evaluation Committee voting members, approval of timesheets, invoices (“read and approved”)</p> <p>Reference Score : (5)</p>	<p>“Double Check” function is not available and not described by SPO</p>					<p>“Double Check” function is available and not described by SPO</p>

TONE AT THE TOP- MINIMUM CRITERIA FOR THE INTERNAL ORGANIZATION OF THE SPO OFFICES						
CRITERION	BASIC  EXPECTED PRACTICE					
	0	1	2	3	4	5
<p>(i) SPO ensures that where different tasks in the life of the same transaction are allocated to different staff to ensure some automatic cross-checking controls</p> <p>Reference Score : (5)</p>	<p>Cross-checking mechanism is not established by SPO</p> 					<p>Cross-checking mechanism is established by SPO</p>
<p>(i) As the Irregularity Officer, SPO delegates this function to ensure that the procedures relating to “reporting irregularities” are properly managed</p> <p>Reference Score : (5)</p>	<p>SPO did not allocate an Irregularity Officer</p> 					<p>SPO allocated an Irregularity Officer</p>

4- RESULTS, CONCLUSIONS AND RECOMMENDATIONS

The logic behind of this section is to be clarify the cross connections between the public institutions as beneficiary and the results of the model. In this respect, three main cause-effect relations should be mentioned;



Step II

The PAO should clarify and formalize (where not done already) the procedure for testing the SPOs declarations on a regular basis. Provide evidence/reporting of testing of self-assessments to the Commission.

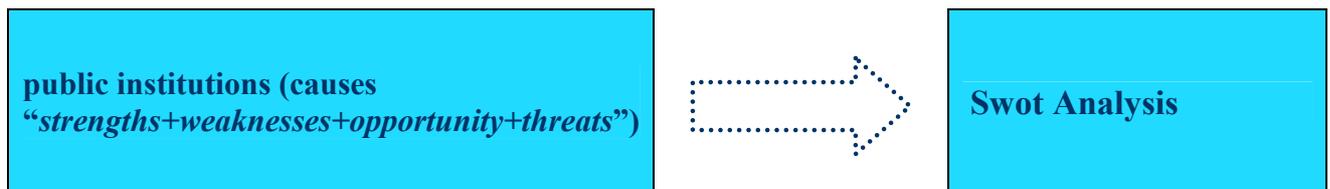
- The CFCU spot check plan to SPOs will be prepared on obtained results basis.
- The CFCU spot check plan will be approved by the PAO and reporting to the NAO and the EC Delegation.
- SPOs of the first package of 2008 IPA Programme-I were designated
- OAs for the first package of 2008 IPA Programme-I were already sent to the SPOs, three of the OAs were signed by the Beneficiaries and submitted to our services as of 20.05.2009
- The 1st Round Table Meeting for the 2008 IPA Programme-I will be held to the SPOs after completion of signing of whole packages of programme.

Step III

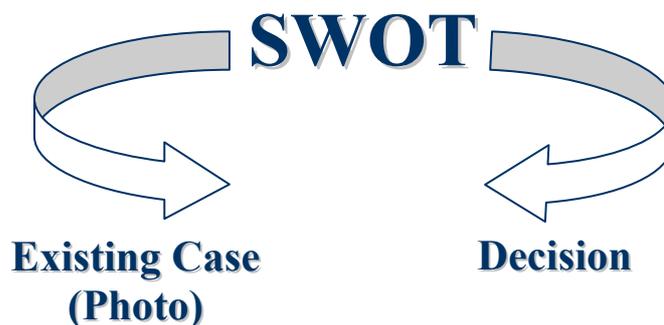
Test the reliability of the SPOs declarations in the light of the updated testing/control procedure, assess and address any weaknesses detected at SPOs/PIUs level; provide reporting to the Commission.

- The SPOs will be informed on certain results of the analysis by PAO in an official way.
- The procedure of “*self assessment*” and the progress on their capacity according to the first results will be followed up by the PAO.

4.1. SWOT ANALYSIS



The findings of this analysis shall be determined as strength, *weaknesses*, *opportunity*, and *threats* in order to be envisaged the common landscape of the SPOs of 2007 IPA Programme





Strengths

1. Except some of the newly established institutions, almost all the beneficiaries have very deep organizational culture and background.
2. All of the public institutions have had very strong organizational structure. Most of the beneficiary institutions are very fundamental state institutions.
3. SPO Offices is situated either in any type of organization in the Turkish Administration (General Directorate, individual department etc.) or an ad hoc “Project Team” under the main organizations.
4. All of the SPO offices are equipped well in terms of computers and their password
5. Generally, all assigned staff has the required skills and experience.
6. All of the SPOs/SPO Office have an appropriate IT system including data management and security is functioning
7. Electronic communications is very common and safety in the public institutions and due to the “*e-state project*“, which applied by the Government last decade ,all the public institutions has their own domain and internet websites.

Weaknesses

1. The cultural differences between European and Turkish public system
2. Lack of motivation of assigned staff due to they have another assignment
3. Many of the assigned staff has language proficiency problems.
4. Almost all of the public institutions confront with the terminology which use as the EU jargon on IPA System, procurement process and /or project life cycle
5. All of the institutions and particularly the new comers to the system have very serious training needs on the PCM, PRAG rules and DIS system in Turkey
6. Some of the institution are waiting to be signed of the contract in order to establish of the SPO Offices
7. Almost all the institutions can not determined of the job descriptions which should be active in the course of implementation period. Therefore, they just assigned the staff; however, generally, the positions are not clear of staff in the project beforehand.



<p>8. All of the institutions are willing to involve in the projects actively.</p>	<p>8. Generally, a serious dilemma is exist on assigning of staff for almost all institutions that due to the insufficient language proficiencies of staff , the assigned staff shall be grouped as two side.</p> <ul style="list-style-type: none"> • The assigned staff, who is very experienced and have had comprehensive information concerning to administrative structure and background of their institution. • On the other side, the assigned staff, who is very junior and has not enough administrative and/or structural background of their institutions. <p>9. The lack of language proficiency particularly more intensively exists of the people who assigned as SPO.</p> <p>10. Another dilemma exists concerning to the positions of the SPO in their own institutions. If the person, who would be assigned as SPO, will be in high level, this is very beneficial to acknowledgment of the project in their own institutional framework.. But this also covers managerial risk if the SPOs did not consider the delegated some his/ her posts.</p> <p>11. As a general approach, SPOs do not preferred to delegate some of his/her duties since the “<i>sensitive post policy</i>” is usually unknown or misleading issue.</p> <p>12. “Irregularity” is a very specific case, which must be enlightened, in order to provide trustworthy of system.</p>
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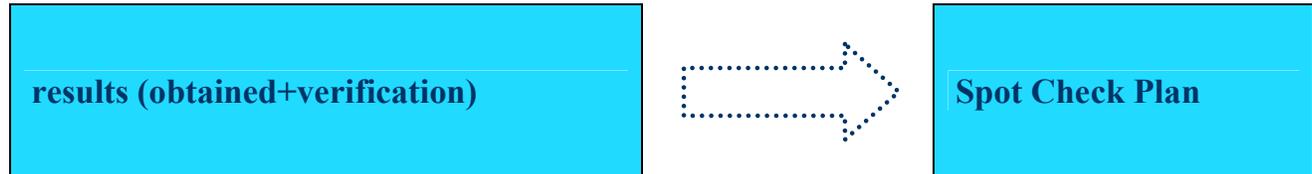
Opportunities

1. The government has considerable support to EU and TR relationships.
2. The EU projects are very closely following by all parts of the society.
3. The assigned staff has great enthusiasm to the project

Threats

1. The fluctuations on the EU and TR relations
2. The fluctuations on both global and national economy
3. Lack of close communication among the departments in the same public institution
4. Lack of proper communication between the public institutions
5. Except a couple of them, almost all of the institutions are responsible to the state budget and SPO has not his/her own financial sources pursuant to the Law No.5018
6. All of the institutions have very regular and compulsory “retention policy” , however, some of them, the deadline for achieves is 5 years rather than 7 years
7. Due to the workload needs of the institutions will continually going up during the years 2010and 2011, “training needs” will be very tricky issue which should be taken for granted.

4.2. SPOT CHECK PLAN



The clusters established as a finding of the statistical analyses, the results obtained shall be checked in order to see whether or not these findings are reflecting the real and correct situations.

The checks will be taken under written statement with a report (*please see at Annex 4- Preparatory Period Spot Check Questionnaire for SPOs Based on “Self Assessment Analysis”*)

While this report was preparing, the CFCU was already realised three spot check visits to the SPO offices that they were classified on the spot check plan as June 2009. The relevant visit reports were also presented on these following pages of the report.

The realised spot checks were presented that the data submitted by the SPO s and the analysis method established by the CFCU reflects concrete and certain situations.

The CFCU will continue to be realised of the spot check visits as a verifications of the data provided by the SPOs side.

5. IMPROVEMENT PLAN



The SPO self assessment analysis should go beyond an analysis report in order to fulfil the purpose of “self assessment sheet to SPOs” implementation.

The improvement plan is one of the main aims of the self assessment analysis effort. All the parties who taken part in this process should have a concrete view of purpose of the self assessment analysis process: the improvement in the overall performance of the organization. The clarified the staff workload of the SPO Offices and the training strategy for SPOs/SPO Offices on the self assessment process should focus on win-win outcomes for all the parties of IPA Implementation.

Specifically the core logic of the report is that:

- It is integrate the *sustainable training strategy* for whole span of the public institutions operability.
- These all comes from as a result of the self assessment analysis report, and it is based upon evidence and data provided by the beneficiary institutions itself and from the aspect of the people of the institutions.
- The findings on the strengths, addresses the weaknesses of the institutions and responds to each of them with proper and appropriate improvement actions

In this analysis report the improvement plan consists of two main titles: the current staffing figures and the staffing needs of the SPO Offices and the training strategy for these offices.



THE WORKFORCE NEEDS OF PUBLIC INSTITUTIONS UNDER THE 2007 IPA PROGRAMME COMPONENT-1

CONSOLIDATED WORKFORCE NEEDED									
Staff	Future Need/Hourly			Available Human Resource/hourly			Gaps		
	2009	2010	2011	2009	2010	2011	2009	2010	2011
	TOTAL	90.009	191.821	180.767	104.519	219.162	239.396	32.786	-29.839
Needed Human Resources				2009 * 6 SPO offices will have 8 staff needed in 2009 2010 * 5 SPO offices will have 9staff needed in 2010 2011 * 5 SPO offices will have 9staff needed in 2011					

(*) Please see at the Annex 2 for the workforce needs of the 2007 IPA Programme Component-1 SPO Offices separately

As seen the results of analysis stated above, the number of workforce need is still considerable figure as (8 staff in 2009, 9 staff in 2010 and 9 staff in 2011). However, the most significant point, which should be taken into account, these figures for extra staff will be just for implementing of the contracts under the 2007 IPA programme-Component 1. This also shall be interpreted as *the staff exchanging rate* (due to the institutional rotation, appointment to other location and status and the other reasons) is quite high in the public institutions and this effects to the projects implementation directly.

Also, the second reason on increasing of the workforce figure is that the possible future workforce needs which should be taken into account in the course implementation periods of the projects. Occasionally, many of the public institutions will have an additional project or projects under the IPA 2008 Programme.

Furthermore, the workforce needs of the beneficiary institutions is not only effectual issue in terms of their own human resource strategies but also this will effect to the CFCU Workload Analysis in different ways.



THE TRAINING STRATEGY FOR FOSTERING THE PUBLIC INSTITUTIONS UNDER THE 2007 IPA PROGRAMME COMPONENT-1

The most dramatically effects of workforce needs increasing is to the performance of institutions itself since the quality and availability of newly assigned staff brings to getter to the programmes to the sustainable and customer-oriented training facilities.

Strategic benchmarking should be used where public institutions seek to improve their overall performance by organizing the long term strategies and general approaches that have enables high-performers to succeed and survive. This involves core competencies on project management styles, development of new training services and learning materials, a change of in the balance of activities types and etc.

The current sources use more effectively; each of the financial programme as a whole consist of SEI Programme for strengthening of the existing public institutions performance. The way and balance of using this programme should be re-designed as create as a “*best practise*”. Best practise is a term and sometimes indicates innovative and interesting fostering practise.

Training strategy should be introduced and the purposes and nature of the self assessment analysis process explained groups. If the SPO has been trained prior to this approach, this will be very logical and beneficial that this person plays a major role in the programme/project life cycle on behalf of his/her institution.

Additionally, training should not only include intensive theoretical explanations, also practical exercises should be taken into account to open their minds to the principals of EU strategies and rules.

The public institutions should be informed on the education providers from EU side such as EIPA, TAIEX, and so on and the ways of applied to these targets.

The DIS Training Strategy prepared by the EUSG should be revised in the light of the concrete findings of this analysis. Most crucial point which should be taken into consideration on the raining strategy that the training need analysis should not be established only institutional needs in general since this caused that all the training needs would be same without including any innovative title. However, organize training should be handle in appropriate to “customer-oriented” approach and should cover;

- Organizing training facilities to management team
- Organizing training facilities of SPOs (self assessment group)
- To provide a list and relevant address to the project coordinators
- Organizing raining facilities to the main stakeholders in the projects



In the light of all the findings, which obtained from the self assessment analysis of 2007 IPA Component-1, stated in this analysis report, a training strategy, that it will be prepared for the improvement of this self assessment group, should included a very certain and concrete titles listed below.

FOR ADMINISTRATIVE LEVEL
<ul style="list-style-type: none"> • Develop, review, update and implement strategy and planning on project process
<ul style="list-style-type: none"> • The contemporary human resource strategies for public institutions
<ul style="list-style-type: none"> • Technology management (<i>manage tasks, manage knowledge, support learning activities, the innovative interaction ways with stakeholders and project partners, develop and maintenance of internal and external networks and etc.</i>)
<ul style="list-style-type: none"> • Budgeting, management of budget and cost effectiveness as an approach
<ul style="list-style-type: none"> • Ethics
<ul style="list-style-type: none"> • Evaluation(assessment whether actions/tasks undertaken have given desired effects)
<ul style="list-style-type: none"> • Monitoring in the project cycle management
<ul style="list-style-type: none"> • What is “irregularity” and “fraud” (the reasons are to be occurred, the ways of understand the impulse, the manage of irregularity and fraud)
<ul style="list-style-type: none"> • Sensitive post policy (understand and apply this policy)
<ul style="list-style-type: none"> • Knowledge management
<ul style="list-style-type: none"> • Strategic Benchmarking
<ul style="list-style-type: none"> • Business involvement and improvement in public organizations
<ul style="list-style-type: none"> • Quality assurance and control



<ul style="list-style-type: none">• What is IPA (main principals, actors, supportive system such as DIS, IPA components, the future perspectives and etc)
<ul style="list-style-type: none">• Related EU jargon

FOR TECHNICAL LEVEL
<ul style="list-style-type: none">• Related EU jargon
<ul style="list-style-type: none">• The development strategic tendering documents (Terms of reference, Technical Specifications, description of actions and etc.)
<ul style="list-style-type: none">• Introduction on the EU PRAG Rules concerning to tendering, evaluating and contracting process
<ul style="list-style-type: none">• Grant scheme management process (design a scheme, tendering, evaluating, implementing and monitoring)
<ul style="list-style-type: none">• Works projects design and management
<ul style="list-style-type: none">• Service projects design and management
<ul style="list-style-type: none">• Supply projects and management
<ul style="list-style-type: none">• Twinning projects design and management